

1. OBJECTIVE 2 ERDF PROJECT SELECTION CRITERIA

1. Purpose

Project selection criteria have two key purposes. Firstly, they are a tool to assess projects in terms of their contribution towards Programme Complement targets, particularly those which will affect the award of the performance reserve. Secondly, they provide a means of differentiating between projects according to the scale of benefits they stand to provide to the Programme area, so that the most worthwhile projects can be identified and supported. The selection criteria must be agreed by the Programme Monitoring Committee and may be revised from time to time to reflect the PMC's strategic approach to the delivery of the Programme.

2. Coverage

The Gateway criteria are drawn from the Single Programme Document, the Structural Funds Manual and various communications from the European Commission. They have the common characteristic that failure to comply with any one means that the project cannot proceed to appraisal, except in the case of retrospective projects where gateway criteria 8 and 9 will not apply but freed up money made available by replacing it with ERDF.

3. The European Commission requires that the horizontal themes of sustainability, equal opportunities and the promotion of ICT be assessed for each project. The Sustainable Development Framework for the East of England should be consulted to place the objectives in question in the appropriate context. The Core criteria measure the contribution of projects in terms of a number of key features which will be common to all applications. Score 3 for each yes answer in the core criteria. Score 1 or ½ for each objective in the horizontal assessments. The bullet points in the horizontal assessments are indicative only of the kinds of actions that can take forward the objectives involved. Other actions should be considered where they also take forward the objective. The score should be awarded on the basis of the degree to which all relevant actions contribute to the objective..

The Measure level criteria are used to rank individual projects applying for funding in the same Priority.

All scores will need to be justified by a detailed argument in a separate section of the business plan and clearly referenced. No section should cover more than one of the numbered topics under the objectives.

4. Operation

The project will be checked for compliance with the gateway criteria. If successful, it would then be subject to horizontal theme assessment and scoring of the core criteria. The horizontal themes would score 10 points each and the core criteria would have 70 points. The combined scores would be used to band projects within each Measure. All projects must make a minimum contribution to each horizontal theme and to a range of core criteria. Projects scoring more than 70 points would be band A, projects scoring 45-69 points band B and projects below 45 points band C. Projects in Band A would normally be funded, Projects in Band B would be funded if funds remained available and Projects in Band C would not be funded. Measure level scores will be used to further support the case for the project and help reach judgements when it is necessary to rank projects, e.g. if there were more Band A projects than funds available.

2. GATEWAY CRITERIA

All non-retrospective projects must:

	Yes	No
1. <i>Provide clear evidence of demand for the project;</i> Explain:		
2. <i>Be eligible for Structural Funds assistance;</i> Explain:		
3. <i>Not be eligible for funding from, or fall within the scope of, another EC funded scheme;</i> Explain:		
4. <i>Be located in the Programme eligible area or meet those specified conditions (GO-East can advise) that enable them to be located outside the Programme area where the Programme area will benefit wholly or partly from them;</i> Explain:		
5. <i>Contribute to one or more of the Programme objectives;</i> Explain:		
6. <i>Correspond to one or more of the activities defined in the Programming Complement;</i> Explain:		
7. <i>Fit with the local Framework and where required be included in a targeted strategic location or Community Regeneration area;</i> Explain:		
8. <i>Demonstrate that the project would not be undertaken without ERDF or ESF grant aid or implemented in a reduced form or at a slower pace than could be achieved with ERDF or ESF grant aid;</i> Explain:		

	Yes	No
9. <i>Demonstrate that the intervention rate of grant is the minimum necessary for the project to proceed;</i> Explain:		
10. <i>Quantify outputs and provide details of clear and attainable targets;</i> Explain:		
11. <i>Demonstrate an additional and sustainable benefit to the socio-economic development of the area;</i> Explain:		
12. <i>Have a sound funding package in place, identifying the recipient of the funds and the sources of match funding;</i> Explain:		
13. <i>Ensure the project's expenditure profile is capable of being contained within the Programme period;</i> Explain:		
14. <i>Not duplicate existing activity;</i> Explain:		
15. <i>Not substitute for existing or planned expenditure;</i> Explain:		
16. <i>Meet all European Union and national procurement requirements;</i> Explain:		
17. <i>Ensure that the European Union rules on State Aids are not breached;</i> Explain:		

	Yes	No
<p>18. <i>Ensure that the project will not cause irreparable damage to, or have a significant negative effect on the natural and built environmental assets of the Region, environmental quality, national resources, sustainable development principles and effective use of existing infrastructure;</i> Explain:</p>		
<p>19. <i>Ensure that there will be no adverse effect on habitats or species of European (Natura 2000 sites and species - English Nature can advise) and national importance;</i> Explain:</p>		
<p>20. <i>Conform to European Union, national, regional and local policies, strategies, plans and Programmes;</i> Explain:</p>		
<p>21. <i>Enable equality of access for all sections of the community and ensure there are no negative impacts on any section of the community;</i> Explain:</p>		
<p>22. <i>Have procedures in place to ensure efficient project management and monitoring;</i> Explain:</p>		
<p>23. <i>Have a clear and sustainable exit strategy;</i> Explain:</p>		
<p>24. <i>Demonstrate that SMEs directly assisted will be eligible SMEs according to both the definition in the Single Programme Document and the restrictions set out in the Structural Funds Manual; and</i> Explain:</p>		
<p>25. <i>Have suitable arrangements for publicity in place.</i> Explain:</p>		

	Yes	No
26. <i>Must not be a high risk case under the risk analysis criteria</i> Explain:		

Retrospective projects must meet all gateway criteria except numbers 8 and 9 but must additionally:

	Yes	No
27. <i>The project applicant must be a publicly accountable body (e.g. RDA, Local Authority or NDPB).</i> Explain:		
28. <i>Have commenced on or after 1 January 2000 and have a commencement date that is the documented date when the work was commissioned.</i> Explain:		
29. <i>Accept the condition to reinvest and amount equivalent to the ERDF grant (freed up money) in regional regeneration in line with the objective set out in the SPD and which will be spent by the end of the programme. (31 December 2008)</i> Explain:		
30. <i>Demonstrate that substantial eligible expenditure has taken place and the applicant has the ability to submit grant claims quickly enough to permit payment and inclusion in declarations to the European Commission by 31 December 2003.</i> Explain:		

3. CORE CRITERIA

Objective 1: to provide good value for money.

Will the project:

	Yes	No
1. <i>Directly create jobs</i> Explain:		
2. <i>Directly safeguard jobs</i> Explain:		
3. <i>Create jobs by the multiplier effect</i> Explain:		
4. <i>Lever in extra investment from the private sector</i> Explain:		
5. <i>Complement any Objective 3 projects</i> Explain:		
6. <i>Involve Objective 2 ESF</i> Explain:		
7. <i>Complement any Rural Development Regulation or FIFG projects</i> Explain:		
8. <i>Complement any Community Initiatives (LEADER +, EQUAL, URBAN, INTERREG IIIC)</i> Explain:		

	Yes	No
9. <i>Complement any SRB or other national or regional government programmes</i> Explain:		
10. <i>Complement any national lottery funded projects</i> Explain:		
Total		

Business plan reference:

Objective 2: to have the maximum strategic impact.

Will the project:

	Yes	No
<p><i>11. Be of significance to the regional economy</i> Explain:</p>		
<p><i>12. Help the development of an existing sector or 'cluster'</i> Explain:</p>		
<p><i>13. Establish a new sector or 'cluster' or develop emerging sector or cluster</i> Explain:</p>		
<p><i>14. Establish a strong community capacity network</i> Explain:</p>		
<p><i>15. Significantly improve the physical environment of a disadvantaged area</i> Explain:</p>		
<p><i>16. Establish a strong support infrastructure for business in the community</i> Explain:</p>		
<p><i>17. Help productive linkages between local employers and training providers</i> Explain:</p>		
<p><i>18. Help productive linkages between local employers and centres of excellence</i> Explain:</p>		

	Yes	No
19. <i>Help local employers network amongst themselves</i> Explain:		
20. <i>Tackle an identified deficiency in local organisational competitiveness</i> Explain:		
21. <i>Encourage inward investment</i> Explain:		
22. <i>Encourage the inward migration of professional and managerial qualified personnel</i> Explain:		
23. <i>Encourage entrepreneurship and business start up</i> Explain:		
24. <i>Assist the development of the 'emerging' and 'strong' sectors identified in the East of England Sectoral Analysis or local frameworks</i> Explain:		
25. <i>Help movement out of, or improve competitiveness within, the 'other' and 'declining' sectors identified in the East of England Sectoral Analysis or local frameworks</i> Explain:		
Total		

Business plan reference:

4. ASSESSMENT OF THE IMPACT OF THE PROJECT ON THE EFFECTIVE PROTECTION AND ENHANCEMENT OF THE ENVIRONMENT AND THE PRUDENT USE OF NATURAL RESOURCES

0.1 Location of Growth

	Yes	No
<ul style="list-style-type: none"> • <i>Use development to create woodlands, habitats and country parks adjacent to, or in, urban areas.</i> Explain: 		
<ul style="list-style-type: none"> • <i>Ensure development is not at risk from flooding, or increases flood risk elsewhere.</i> Explain: 		
<ul style="list-style-type: none"> • <i>Guide development away from important landscape, biodiversity, and historic features</i> Explain: 		
<ul style="list-style-type: none"> • <i>Protect landscape character</i> Explain: 		

0.2 Transport

	Yes	No
<ul style="list-style-type: none"> • <i>Promote Green Transport Plans and support energy saving and clean fuel initiatives in the use of all forms of powered transport. Bear in mind the most environmentally sustainable forms of transport, where applicable, within the remit of the bid and to raise public awareness of the need for lifestyle changes to reduce dependence on the car.</i> Explain: 		

0.3 Protection of the natural environment

	Yes	No
<ul style="list-style-type: none"> Consider Biodiversity Action Plan (BAP) targets for the area and contribute, where possible, to the maintenance or enhancement of other natural assets through the creation of reparation of habitats to ensure sustainable and linked species populations. Explain: 		
<ul style="list-style-type: none"> Encourage people, through educational initiatives within the bid, to come into contact with, understand, and enjoy nature and become aware of the link between use of natural resources and environmental impacts. Explain: 		

0.4 Historic and built environment

	Yes	No
<ul style="list-style-type: none"> Consider, where possible within the bid, safeguarding and enhancing the local historic environment. Incorporate the promotion of local distinctiveness and pride in local identity and history by repairing historic buildings and areas, and by encouraging the re-use of valued buildings. Explain: 		
<ul style="list-style-type: none"> Promote public education and enjoyment of the built heritage and archaeology. Explain: 		
<ul style="list-style-type: none"> Encourage thoughtful design and mixed-use development which incorporates well-planned open space (including the use of brownfield sites and re-using buildings); which is accessible by a choice of alternative means of transport; includes energy and water efficiency measures; and uses locally sourced materials where possible. Explain: 		

	Yes	No
<ul style="list-style-type: none"> • <i>Consider whole life use in developments and the re-use of materials where possible.</i> Explain: 		

0.5 Energy and Global impact

	Yes	No
<ul style="list-style-type: none"> • <i>Minimise our CO² production and to encourage positive attitudes towards renewable energy schemes (e.g. wind and biomass etc.).</i> Explain: 		
<ul style="list-style-type: none"> • <i>Consider the development of Carbon Neutral initiatives such as planting trees to sequester carbon and installing higher levels of insulation in buildings.</i> Explain: 		
<ul style="list-style-type: none"> • <i>Consider the implementation of renewable energy initiatives into the bid.</i> Explain: 		
<ul style="list-style-type: none"> • <i>Encourage more efficient use of energy (including product design; manufacturing processes; and transport) and to incorporate behavioural change initiatives into the bid.</i> Explain: 		
<ul style="list-style-type: none"> • <i>Incorporate energy efficiency best practice principles into building development and design.</i> Explain: 		

0.6 Living with climate change

	Yes	No
<ul style="list-style-type: none"> <i>Promote lifestyle changes to cope with climate changes, such as promoting water and energy efficiency.</i> Explain: 		
<ul style="list-style-type: none"> <i>Encourage technological development to provide clean and efficient use of resources.</i> Explain: 		

0.7 Local environment quality

	Yes	No
<ul style="list-style-type: none"> <i>Improve the quality of life in urban areas by making them more attractive places in which to live, work and visit by, for example, minimising noise and light pollution.</i> Explain: 		
<ul style="list-style-type: none"> <i>Encourage local authorities to include the concept of local environmentally sustainable spending of European monies into their community strategies.</i> Explain: 		

0.8 Waste

	Yes	No
<ul style="list-style-type: none"> Minimise the production of waste and then promote re-use, recycling, composting, alternative treatment options and energy recovery before resorting to the landfill of any materials used in the scheme, taking into account the Best practicable Sustainable Option (BPSO). Explain: 		
<ul style="list-style-type: none"> Pay due regard to local waste plans and strategies - and to contribute towards their implementation and/or development. Explain: 		

0.9 Water resources and quality

	Yes	No
<ul style="list-style-type: none"> Raise awareness to encourage water efficiency and conservation. Develop and promote local water recycling initiatives for developments and buildings, i.e. by encouraging rainwater harvesting; or by promoting sustainable urban drainage systems to reduce flood risk and water loss from natural systems, and the use of natural techniques (e.g. reedbed technology) to clean water. Explain: 		
<ul style="list-style-type: none"> Reduce pollution by introducing the management of supplied water and effluents. Explain: 		

0.10 Minerals

	Yes	No
<ul style="list-style-type: none">• <i>Encourage maximum efficiency and appropriate use of aggregate materials.</i> Explain:		
<ul style="list-style-type: none">• <i>Promote the use of recycled materials particularly in the construction industry, to avoid wasteful use and transport of resources.</i> Explain:		

Business plan reference:

5. ASSESSMENT OF THE IMPACT OF THE PROJECT ON SOCIAL PROGRESS WHICH RECOGNISES THE NEEDS OF EVERYONE AND PROMOTES EQUAL OPPORTUNITIES

0.1 Planning for inclusion

•	Yes	No
<ul style="list-style-type: none"> • <i>Commence with an equality audit that leads to an action plan that actively promotes equality of opportunity through the delivery of an Equal Opportunities policy that incorporates best practice benchmarked standards and codes of practice particularly with regard to race equality and ensures that all sub-contractors do the same.</i> Explain: 		
<ul style="list-style-type: none"> • <i>Demonstrate how the rationale of the project has taken into account the specific needs of women and/or other socially or economically disadvantaged groups and undertakes a gender audit to establish baselines and ensures that all sub-contractors do the same.</i> Explain: 		

0.2 Monitoring inclusion

•	Yes	No
<ul style="list-style-type: none"> • <i>Ensure the regular production of evaluation reports on the actions the project is undertaking to promote equality.</i> Explain: 		

0.3 Drive for flexibility

•	Yes	No
<ul style="list-style-type: none"> • <i>Maximise the potential for flexibility in the employment and training of women and/or other socially or economically disadvantaged groups.</i> Explain: 		

0.4 Entrepreneurship

	Yes	No
<ul style="list-style-type: none"> • <i>Support business start-up and growth that addresses the particular needs of female entrepreneurs and/or other socially or economically disadvantaged groups.</i> Explain: 		
<ul style="list-style-type: none"> • <i>Provide innovative financing schemes which will particularly benefit women/and or other socially or economically disadvantaged groups who are less likely to have access to housing equity or other traditional sources of capital funding.</i> Explain: 		

0.5 Negative impacts

	Yes	No
<ul style="list-style-type: none"> • <i>Avoid having negative impacts on the participation of women and/or other socially or economically disadvantaged groups, e.g. not having minimum thresholds for the size of business development grants or loans.</i> Explain: 		

0.6 Community participation

	Yes	No
<ul style="list-style-type: none"> • <i>Locate in or near communities experiencing disadvantage.</i> Explain: 		
<ul style="list-style-type: none"> • <i>Have the active support and participation of the local community in project design and implementation</i> Explain: 		

0.7 Care facilities

	Yes	No
<ul style="list-style-type: none"> • <i>Provide care facilities(not just for children) to enable local residents to access training or job opportunities.</i> Explain: 		

0.8 Community Buildings

	Yes	No
<ul style="list-style-type: none"> • <i>Provide community buildings which relate to economic activity - providing advice, information, training opportunities</i> Explain: 		

0.9 Removal of physical constraints

	Yes	No
<ul style="list-style-type: none"> • <i>Ensure that there are no physical constraints preventing individuals accessing employment and personal development opportunities and that any buildings involved meet the code of practice for disabled access particularly the need to involve the disabled people themselves in the design of buildings</i> Explain: 		

0.10 Transport

	Yes	No
<ul style="list-style-type: none"><i>Ensure that it is accessible to beneficiaries without access to private transport and encourages community transport schemes.</i> <p>Explain:</p>		

Business plan reference:

6. ASSESSMENT OF THE IMPACT OF THE PRODUCT ON THE USE OF ICT TO MAINTAIN HIGH AND STABLE LEVELS OF ECONOMIC GROWTH AND EMPLOYMENT.

0.1 Online

	Yes	No
<ul style="list-style-type: none"> • <i>Have its own web site and encourage community participation in its development and delivery</i> Explain: 		
<ul style="list-style-type: none"> • <i>Be linked to other sites</i> Explain: 		
<ul style="list-style-type: none"> • <i>Bring local business communities on line</i> Explain: 		

0.2 Flexible Business Practices

	Yes	No
<ul style="list-style-type: none"> • <i>Promote the use of flexible business practices such as home working using ICT links, which eliminate the effects of distance</i> Explain: 		

0.3 e-commerce

	Yes	No
<ul style="list-style-type: none"> • <i>Use e-commerce or accelerate the use of e-commerce within business communities.</i> Explain: 		

0.4 Increased support

	Yes	No
<ul style="list-style-type: none"> • <i>Increase the level of ICT support to businesses and communities</i> Explain: 		

0.5 Consultancy

	Yes	No
<ul style="list-style-type: none"> • <i>Promote the use of ICT to add value to output by providing locally available specialist advice and consultancy to SMEs</i> Explain: 		
<ul style="list-style-type: none"> • <i>Promote the use of ICT by business start-ups and micro-businesses and community groups by specialist advice and consultancy available locally and dedicated financial assistance</i> Explain: 		

0.6 Funding

	Yes	No
<ul style="list-style-type: none"> • <i>Provide financial instruments and grants to SMEs to upgrade their production and ICT capacity.</i> Explain: 		

0.7 Workspace

	Yes	No
<ul style="list-style-type: none"> • <i>Provision of incubator units and managed workspace dedicated to broadband ICT use.</i> Explain: 		

0.8 Networking

	Yes	No
<ul style="list-style-type: none"> <i>Promote technology transfer (including Intellectual Property Rights) through specialised advice and consultancy to SMEs and community groups</i> Explain: 		
<ul style="list-style-type: none"> <i>Network SMEs and community groups with centres of excellence and other support institutions such as universities, Business Links and other support institutions</i> Explain: 		
<ul style="list-style-type: none"> <i>Organise 'clusters' or supply chain networks to access best practice, render mutual support, and introduce new technologies such as biotechnology, alternative energy and others</i> Explain: 		
<ul style="list-style-type: none"> <i>Link communities with e.g. educational establishments and businesses to support organisations to improve ICT capacity.</i> Explain: 		
<ul style="list-style-type: none"> <i>Establishment of local self-help networks for SMEs and community groups utilising ICT</i> Explain: 		

0.9 Technology

	Yes	No
<ul style="list-style-type: none"> <i>Encourage the conversion of physical output to digital, e.g. as with films</i> Explain: 		
<ul style="list-style-type: none"> <i>Encourage the use of teleconferencing to reduce travel</i> Explain: 		

	Yes	No
<ul style="list-style-type: none"> • <i>Encourage the installation of broadband in the programme areas, i.e. business speed Internet access</i> Explain: 		
<ul style="list-style-type: none"> • <i>Encourage the use of satellite communications for business usage, e.g. teleports</i> Explain: 		

0.10 Community

	Yes	No
<ul style="list-style-type: none"> • <i>Promote the use of ICT to establish knowledge exchange and share best practice for communities</i> Explain: 		
<ul style="list-style-type: none"> • <i>Increase the access to the internet amongst groups normally excluded, e.g. unemployment</i> Explain: 		
<ul style="list-style-type: none"> • <i>Encourage the provision of internet cafes/ICT centres/technology access points to encourage wider access to communities of ICT facilities.</i> Explain: 		

Business plan reference:

7. MEASURE LEVEL CRITERIA

At Measure Level, it is proposed to score by activity indicators. These are:

Measure 1.1	Max Score
No. of SMEs assisted	3
SMEs given advice/information	3
SMEs given technological advice	3
No. of new networks established	3
No. of members of networks	3
No. of inward investment projects	3
	18

Measure 1.2	Max Score
SMEs receiving financial support	3
SMEs given advice/information	3
No. of financial engineering mechanisms established	3
	9

Measure 2.1	Max Score
No. of sites prepared	3
Site infrastructure projects	3
New industrial and commercial floorspace sqm	3
Refurb. industrial and commercial floorspace sqm	3
Managed workspace units provided	3
Local centres provided	3
Care places provided	3
	21

Measure 2.2	Max Score
Key sector SMEs receiving financial support	3
Key sector SMEs given advice/information	3
Key sector units provided	3
Tourism SMEs receiving financial support	3
Environmental tourism facilities	3
No. of environment improvement schemes	3
	18

Measure 3.1	Max Score
No. Community projects supported	3
No. Networks supported	3
No. Partnership events	3
	9

Measure 3.2	Max Score
No. Community projects supported	3
No. networks supported	3
No. partnership events	3
Community enterprises supported	3
No. credit unions/micro finance schemes	3
No. environmental improvement schemes	3
No. Community transport initiatives	3
No. multifunction Community Centres	3
Business advice to SMEs`	3
ICT Training Centres supported	3
Workspace/Business Centres erected	3
	33

Scoring will be on the basis that the greater the provision of benefit in relation to the size of the local economy the higher the score, i.e. one for some impact, two for moderate impact and three for major impact.

8. OBJECTIVE 2 BID SCORING SHEET

Project Name:

Gateway Criteria: All satisfied Yes No

	Objectives	Actual Score	Allowable Score
Core Criteria	1	<input type="checkbox"/>	<input type="checkbox"/> 70 maximum
	2	<input type="checkbox"/>	
Environment	1	<input type="checkbox"/>	<input type="checkbox"/> 10 maximum
	2	<input type="checkbox"/>	3 minimum: Yes <input type="checkbox"/> No <input type="checkbox"/>
	3	<input type="checkbox"/>	
	4	<input type="checkbox"/>	
	5	<input type="checkbox"/>	
	6	<input type="checkbox"/>	
	7	<input type="checkbox"/>	
	8	<input type="checkbox"/>	
	9	<input type="checkbox"/>	
	10	<input type="checkbox"/>	
Equal Opportunities	1	<input type="checkbox"/>	<input type="checkbox"/> 10 maximum
	2	<input type="checkbox"/>	3 minimum: Yes <input type="checkbox"/> No <input type="checkbox"/>
	3	<input type="checkbox"/>	
	4	<input type="checkbox"/>	
	5	<input type="checkbox"/>	
	6	<input type="checkbox"/>	
	7	<input type="checkbox"/>	
	8	<input type="checkbox"/>	
	9	<input type="checkbox"/>	
	10	<input type="checkbox"/>	

ICT	1	<input type="checkbox"/>	<input type="checkbox"/>	10 maximum
	2	<input type="checkbox"/>		3 minimum Yes <input type="checkbox"/> No <input type="checkbox"/>
	3	<input type="checkbox"/>		
	4	<input type="checkbox"/>		
	5	<input type="checkbox"/>		
	6	<input type="checkbox"/>		
	7	<input type="checkbox"/>		
	8	<input type="checkbox"/>		
	9	<input type="checkbox"/>		
	10	<input type="checkbox"/>		
Total		<input type="checkbox"/>		
Measure		<input type="checkbox"/>		

Appraisal Officer Name:

Signature:

Date: